



U.S. PATENT DOCUMENTS					
Examiner Initials ²	Cite No. ¹	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number- Kind Code ³ (if known)			
JL 5		US- 5,819,238	10-6-98	FERNHOLZ	
		US- 6,061,663	5-9-00	BLOOM, et al.	
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Examiner Signature		Date Considered	1/26/07
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¹ Applicant's unique citation designation number (optional). ² See Kinds Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Substitution for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Complete if Known	
Sheet	2	of	2	Application Number	09/931,149
				Filing Date	August 16, 2001
				First Named Inventor	David Rios, et al.
				Group Art Unit	2164
				Examiner Name	not yet known
				Attorney Docket Number	016422/142

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

2

of

2

Complete if Known

Application Number

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Filing Date

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First Named Inventor

David Rios, et al.

Group Art Unit

2164

Examiner Name _____

not yet known

Attorney Docket Number

016422/142

OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

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Initials*Cite
No. 1

T2

ALEX GOBLIN, "New QMBS Index Aids Investor"; THE REAL ESTATE FINANCE JOURNAL, Winter 2000, pgs. 62 - 68, Egan, Minnesota

JUSTYNA PAWLAK, "Nationsbank Unveils First Comprehensive OMS Index"; Bondweek, October 26, 1998, pgs. 1 and 10, Vol. XVIII, No. 43 (pgs 1 and 10 provided), New York, New York-Institutional Investor

L.DYKIN, J.HYMAN, V.KONSTANTINOVSKY, and N.ROTH, "MBS Index Returns: A Detailed Look"; *The Journal of Fixed Income*, March 1999, pgs. 9-23, Vol. 8, No. 4, New York, New York, Institutional Investor

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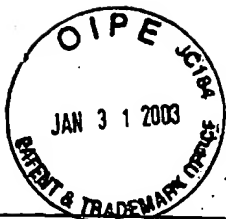
Date _____

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FORM PTO-1449 U.S. Department of Commerce Patent and Trademark Office	Serial No. 09/931,149
INFORMATION DISCLOSURE STATEMENT	Inventors: David Rigsby et al.
(Use several sheets if necessary)	Docket No. 16422-142

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U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
SV	5,227,967	July 13, 1993	Bailey			
	5,774,880	June 30, 1998	Ginsberg			
	5,812,987	Sep. 22, 1998	Luskin, et al.			
	5,812,988	Sep. 22, 1998	Sandretto			
	5,940,810	Aug. 17, 1999	Traub			
	5,987,435	Nov. 16, 1999	Weiss, et al.			
	6,058,377	May 2, 2000	Traub et al.			
	6,026,381	Feb. 15, 2000	Barton, III et al.			

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EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION

OTHER DOCUMENTS

EXAMINER INITIAL	AUTHOR, TITLE, DATE, PERTINENT PAGES, ETC.
SV	Investment Dealers' Digest, June 28, 1999, pgs. 4-5
	MBS Index Returns: A Detailed Look, Journal of Fixed Income, March 1999
	Bondweek, October 26, 1998


EXAMINER <i>[Signature]</i>	DATE CONSIDERED 1/26/04
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Form PTO-1449 [6-4]

PTO/SB/08B (08-00)
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Substitute for form 1449B/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>				Complete if Known	
				Application Number	09/931,149
				Filing Date	August 16, 2001
				First Named Inventor	David Rios
				Group Art Unit	2164
				Examiner Name	Not yet assigned
				Attorney Docket Number	016422/0142
Sheet	2	of	2		

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Examiner Signature		Date Considered	1/26/07
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